

#3

Applicant or Patentee: Belfort et al.
Serial or Patent No.: To be assigned
Filed: Herewith
For: Genetic System and Self Cleaving Inteins Derived Therefrom, Bioseparations and Protein Purification Employing Same, and Methods For Determining Critical, Generalizable Amino Acid Residues For Varying Intein Activity

Frommer Lawrence & Haug LLP
File No.: 454311-2201.1
Page 1 of 3

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As a below-named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention, entitled **Genetic System and Self Cleaving Inteins Derived Therefrom, Bioseparations and Protein Purification Employing Same, and Methods For Determining Critical, Generalizable Amino Acid Residues For Varying Intein Activity** described in application Serial No. **not yet assigned**, filed **herewith**.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor who could not qualify as a small business concern under 35 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Full Name: **Marlene Belfort**

Address: **162 Font Grove Road, Slingerlands, New York 12158**

☒ Individual ☐ Small Business Concern ☐ University or other institute of higher education

Full Name: **Vickey Derbyshire**

Address: **32 North Helderberg Parkway, Slingerlands, New York 12159**

☒ Individual ☐ Small Business Concern ☐ University or other institute of higher education

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

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Page 2 of 3

Full Name: **David Wood**

Address: **36-08 Ravens Crest Drive, Plainsboro, New Jersey 08536**

☒ Individual ☐ Small Business Concern ☐ University or other institute of
higher education

Full Name: **Wei Wu**

Address: **175 South Swan Street, Apt. 5A, Albany, New York 12210**

☒ Individual ☐ Small Business Concern ☐ University or other institute of
higher education

Full Name: **Rensselaer Polytechnic Institute**

Address: **J-Building 3210, Troy, New York, 12180-3590**

☐ Individual ☐ Small Business Concern ☒ University or other institute of
higher education

Full Name: **Health Research Institute**

Address: **One University Place, Rensselaer, New York 12144**

☐ Individual ☐ Small Business Concern ☒ University or other institute of
higher education

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

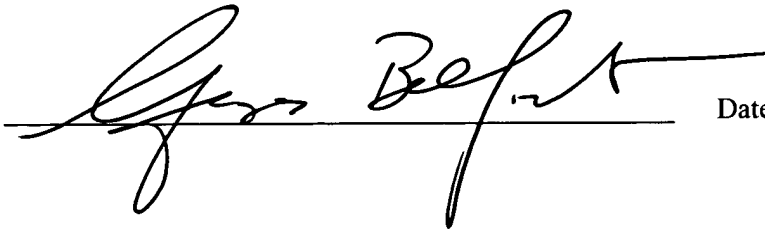
Name of Person Signing:

Georges Belfort

Address of Person Signing:

**162 Font Grove Road
Slingerlands, New York 12159**

Signature: _____



Date: _____

9 - 20 - 00



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Full Name: **Marlene Belfort**

Address: **162 Font Grove Road, Slingerlands, New York 12158**

☒ Individual

☐ Small Business Concern

☐ University or other institute of
higher education

Full Name: **Georges Belfort**

Address: **162 Font Grove Road, Slingerlands, New York 12159**

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Full Name: **Vicky Derbyshire**

Address: **32 North Helderberg Parkway, Slingerlands, New York 12159**

☒ Individual ☐ Small Business Concern ☐ University or other institute of
higher education

Full Name: **Wei Wu**

Address: **175 South Swan Street, Apt. 5A, Albany, New York 12210**

☒ Individual ☐ Small Business Concern ☐ University or other institute of
higher education

Full Name: **Rensselaer Polytechnic Institute**

Address: **J-Building 3210, Troy, New York, 12180-3590**

☐ Individual ☐ Small Business Concern ☒ University or other institute of
higher education

Full Name: **Health Research Institute**

Address: **One University Place, Rensselaer, New York 12144**

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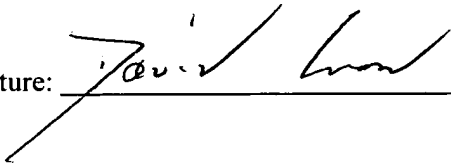
Name of Person Signing:

David Wood

Address of Person Signing:

**36-08 Ravens Crest Drive
Plainsboro, NJ 08536**

Signature: _____



Date: Jan. 23, 2001

Applicant or Patentee: Belfort et al.
Serial or Patent No.: To be assigned
Filed: Herewith
For: Genetic System and Self Cleaving Inteins Derived
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Frommer Lawrence & Haug LLP
File No.: 454311.2201.1
Page 3 of 3

Full Name: Wei Wu

Address: 175 South Swan Street, Apt. 5A, Albany, New York 12210

☒ Individual

☐ Small Business Concern

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Name of Person Signing:

Michael Barth

Title in Organization:

Health Research Institute

Address of Person Signing:

One University Place
Rensselaer, New York 12144

Signature: _____

Date: _____

8/9/00

#3

DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

(Under 37 CFR § 1.63)

FROMMER LAWRENCE & HAUG LLP

File No.: 454311-2201.1



As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention ENTITLED: GENETIC SYSTEM AND SELF-CLEAVING INTEINS DERIVED THEREFROM, BIOSEPARATIONS AND PROTEIN PURIFICATION EMPLOYING SAME, AND METHODS FOR DETERMINING CRITICAL, GENERAZLIABLE AMINO ACID RESIDUES FOR VARYING INTEIN ACTIVITY, the specification of which is attached hereto

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U.S. Application(s)

<u>U.S. Serial No.:</u>	<u>Filed (Day/Month/Year)</u>	<u>PCT Application No.</u>	<u>Status (patented, pending, abandoned)</u>
60/149,257	17/08/99		PENDING

I hereby appoint SUSAN K. LEHNHARDT, Registration No. 33,943, and Frommer Lawrence & Haug LLP, or their duly appointed associate, my attorneys, with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to file continuation and divisional applications thereof, to receive the Patent, and to transact all business in the Patent and Trademark Office and in the Courts in connection therewith, and specify that all communications about the application are to be directed to the following correspondence address:

Susan K. Lehnhardt, Esq.
c/o FROMMER LAWRENCE & HAUG LLP
745 Fifth Avenue
New York, NY 10151

Direct all telephone calls to: (212) 588-0800
to the attention of: Susan K. Lehnhardt

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

DECLARATION FOR PATENT APPLICATION
AND POWER OF ATTORNEY (Under 37 CFR § 1.63)

FLH Docket No 454311-2201.1.

INVENTOR(S):

Signature: _____ Date: _____

Full name of first joint inventor: Marlene Belfort
Residence: 162 Font Grove Road, Slingerlands, New York 12159
Citizenship: United States

Signature: _____ Date: _____

Full name of 3rd joint inventor: Georges Belfort
Residence: 162 Font Grove Road, Slingerlands, New York 12159
Citizenship: United States

Signature: _____ Date: _____

Full name of 4th joint inventor: Vicky Derbyshire
Residence: 32 North Helderberg Parkway, Slingerlands, New York 12159
Citizenship: United States

Signature: David Wood Date: Jan 23, 2001

Full name of 5th joint inventor: David Wood
Residence: 36-08 Ravens Crest Drive, Plainsboro, New Jersey 08536
Citizenship: United States

Signature: _____ Date: _____

Full name of 6th joint inventor: Wei Wu
Residence: 175 South Swan Street, Apt. 5A, Albany, New York 12210
Citizenship:

DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY

(Under 37 CFR § 1.63)

FROMMER LAWRENCE & HAUG LLP

File No.: 454311-2201.1



As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention ENTITLED: GENETIC SYSTEM AND SELF-CLEAVING INTEINS DERIVED THEREFROM, BIOSEPARATIONS AND PROTEIN PURIFICATION EMPLOYING SAME, AND METHODS FOR DETERMINING CRITICAL, GENERAZLIABLE AMINO ACID RESIDUES FOR VARYING INTEIN ACTIVITY, the specification of which is attached hereto

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Prior U.S. Application(s)

<u>U.S. Serial No.:</u>	<u>Filed (Day/Month/Year)</u>	<u>PCT Application No.</u>	<u>Status (patented, pending, abandoned)</u>
60/149,257	17/08/99		PENDING

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Susan K. Lehnhardt, Esq.
c/o FROMMER LAWRENCE & HAUG LLP
745 Fifth Avenue
New York, NY 10151

Direct all telephone calls to: (212) 588-0800
to the attention of: Susan K. Lehnhardt

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

DECLARATION FOR PATENT APPLICATION
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FLH Docket No 454311-2201.1.

INVENTOR(S):

Signature: _____ Date: _____

Full name of first joint inventor: Marlene Belfort
Residence: 162 Font Grove Road, Slingerlands, New York 12159
Citizenship: United States

Signature: Georges Belfort Date: 9 - 20 - 00

Full name of 3rd joint inventor: Georges Belfort
Residence: 162 Font Grove Road, Slingerlands, New York 12159
Citizenship: United States

Signature: _____ Date: _____

Full name of 4th joint inventor: Vicky Derbyshire
Residence: 32 North Helderberg Parkway, Slingerlands, New York 12159
Citizenship: United States

Signature: _____ Date: _____

Full name of 5th joint inventor: David Wood
Residence: 36-08 Ravens Crest Drive, Plainsboro, New Jersey 08536
Citizenship: United States

Signature: _____ Date: _____

Full name of 6th joint inventor: Wei Wu
Residence: 175 South Swan Street, Apt. 5A, Albany, New York 12210
Citizenship:

Frommer Lawrence & Haug LLP
File No.: 454311.2201.1
Serial No. To be assigned
Filing Date: Herewith

ASSIGNMENT

We, **MARLENE BELFORT, VICKY DERBYSHIRE, and WEI WU**, who reside respectively at 162 Font Grove Road, Slingerlands, NY 12159, 32 North Helderberg Parkway, Slingerlands, NY 12159, and 1745 South Swan Street, Apt. 5A, Albany, NY 12210, respectively, herein after called "Assignors", have made certain inventions or discoveries (or both) set forth in an application for Letters Patent of the United States of America entitled: **GENETIC SYSTEM AND SELF-CLEAVING INTEINS DERIVED THEREFROM, BIOSEPARATIONS AND PROTEIN PURIFICATION EMPLOYING SAME, AND METHODS FOR DETERMINING CRITICAL, GENERALIZABLE AMINO ACID RESIDUES FOR VARYING INTEIN ACTIVITY** and **Health Research Institute** whose address is, **One University Place, Rensselaer, New York 12144** and which, together with its successors and assigns is hereinafter called "Assignee," is desirous of acquiring the title, rights, benefits and privileges hereinafter recited, and of confirming the same or any part thereof heretofore acquired by Assignee.

Now, therefore, for valuable consideration furnished by Assignee to Assignors, receipt and sufficiency of which Assignor hereby acknowledge, Assignors hereby, without reservation:

1. Assign and convey to and confirm in Assignee the entire right, title and interest in and to said inventions and discoveries, said application for Letters Patent of the United States of America, any and all other applications for Letters Patent on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation and Convention applications based in whole or in part upon said inventions or discoveries or upon said applications, and any and all Letters Patent and reissues and extensions of Letters Patent granted for said inventions and discoveries or upon said applications, and every priority right that is or may be predicated upon or arise from said inventions, said discoveries, said applications and said Letters Patent;
2. Authorize Assignee to file patent applications in any or all countries on any or all of said inventions and discoveries in our names or in the name of Assignee or otherwise as Assignee may deem advisable, under the International Convention or otherwise;
3. Authorize and request the Commissioner of Patents of the United States of America and the empowered officials of all other governments to issue or transfer all said Letters Patent to Assignee, as assignee of the entire right, title and interest therein or otherwise as Assignee may direct;
4. Warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to Assignee without encumbrance;
5. Bind our heirs and legal representatives, as well as ourselves to do, upon Assignee's request and at its expense, but without additional consideration to us or them, all acts reasonably serving to assure that the said inventions and discoveries, the said patent applications and the said Letters Patent shall be held and enjoyed by Assignee as fully and entirely as the same could have been held and enjoyed by us or our heirs or representatives if this assignment had not been made; and particularly to execute and deliver to Assignee all lawful application documents including petitions, specifications, and oaths, and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by Assignee; to communicate to Assignee all facts known to us relating to said inventions and discoveries or the history thereof; and to furnish Assignee with any and all documents, photographs, models, samples and other

physical exhibits in our control or in the control of our heirs or legal representatives and which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

In testimony of which we have affixed our signatures.

DATE

DATE

DATE

MARLENE BELFORT

Vicky Derbyshire
VICKY DERBYSHIRE

WEI WU

Frommer Lawrence & Haug LLP
File No.: 454311.2201.1
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ASSIGNMENT

We, **MARLENE BELFORT, VICKEY DERBYSHIRE, and WEI WU**, who reside respectively at 162 Font Grove Road, Slingerlands, NY 12159, 32 North Helderberg Parkway, Slingerlands, NY 12159, and 1745 South Swan Street, Apt. 3A, Albany, NY 12210, respectively, herein after called "Assignors", have made certain inventions or discoveries (or both) set forth in an application for Letters Patent of the United States of America entitled: **GENETIC SYSTEM AND SELF-CLEAVING INTEINS DERIVED THEREFROM, BIOSEPARATIONS AND PROTEIN PURIFICATION EMPLOYING SAME, AND METHODS FOR DETERMINING CRITICAL, GENERALIZABLE AMINO ACID RESIDUES FOR VARYING INTEIN ACTIVITY** and Health Research Institute whose address is, **One University Place, Rensselaer, New York 12144** and which, together with its successors and assigns is hereinafter called "Assignee," is desirous of acquiring the title, rights, benefits and privileges hereinafter recited, and of confirming the same or any part thereof heretofore acquired by Assignee.

Now, therefore, for valuable consideration furnished by Assignee to Assignors, receipt and sufficiency of which Assignor hereby acknowledge, Assignors hereby, without reservation:

1. Assign and convey to and confirm in Assignee the entire right, title and interest in and to said inventions and discoveries, said application for Letters Patent of the United States of America, any and all other applications for Letters Patent on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation and Convention applications based in whole or in part upon said inventions or discoveries or upon said applications, and any and all Letters Patent and reissues and extensions of Letters Patent granted for said inventions and discoveries or upon said applications, and every priority right that is or may be predicated upon or arise from said inventions, said discoveries, said applications and said Letters Patent;
2. Authorize Assignee to file patent applications in any or all countries on any or all of said inventions and discoveries in our names or in the name of Assignee or otherwise as Assignee may deem advisable, under the International Convention or otherwise;
3. Authorize and request the Commissioner of Patents of the United States of America and the empowered officials of all other governments to issue or transfer all said Letters Patent to Assignee, as assignee of the entire right, title and interest therein or otherwise as Assignee may direct;
4. Warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to Assignee without encumbrance;
5. Bind our heirs and legal representatives, as well as ourselves to do, upon Assignee's request and at its expense, but without additional consideration to us or them, all acts reasonably serving to assure that the said inventions and discoveries, the said patent applications and the said Letters Patent shall be held and enjoyed by Assignee as fully and entirely as the same could have been held and enjoyed by us or our heirs or representatives if this assignment had not been made; and particularly to execute and deliver to Assignee all lawful application documents including petitions, specifications, and oaths; and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by Assignee; to communicate to Assignee all facts known to us relating to said inventions and discoveries or the history thereof; and to furnish Assignee with any and all documents, photographs, models, samples and other

physical exhibits in our control or in the control of our heirs or legal representatives and which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

In testimony of which we have affixed our signatures.

DATE

MARLENE BELFORT

DATE

VICKY DERBYSHIRE

DATE

8/9/00

WEI WU

Wei Wu

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File No.: 454311.2201.1
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2. Authorize Assignee to file patent applications in any or all countries on any or all of said inventions and discoveries in our names or in the name of Assignee or otherwise as Assignee may deem advisable, under the International Convention or otherwise;
3. Authorize and request the Commissioner of Patents of the United States of America and the empowered officials of all other governments to issue or transfer all said Letters Patent to Assignee, as assignee of the entire right, title and interest therein or otherwise as Assignee may direct;
4. Warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to Assignee without encumbrance;
5. Bind our heirs and legal representatives, as well as ourselves to do, upon Assignee's request and at its expense, but without additional consideration to us or them, all acts reasonably serving to assure that the said inventions and discoveries, the said patent applications and the said Letters Patent shall be held and enjoyed by Assignee as fully and entirely as the same could have been held and enjoyed by us or our heirs or representatives if this assignment had not been made; and particularly to execute and deliver to Assignee all lawful application documents including petitions, specifications, and oaths, and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by Assignee; to communicate to Assignee all facts known to us relating to said inventions and discoveries or the history thereof; and to furnish Assignee with any and all documents, photographs, models, samples and other

physical exhibits in our control or in the control of our heirs or legal representatives and which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

In testimony of which we have affixed our signatures.

8.12.00
DATE

Marlene Belfort
MARLENE BELFORT

DATE

VICKY DERBYSHIRE

DATE

WEI WU

Applicant or Patentee:

Belfort et al.

Serial or Patent No.:

To be assigned

Filed:

Herewith

For:

Genetic System and Self Cleaving Inteins Derived
Therefrom, Bioseparations and Protein
Purification Employing Same, and Methods For
Determining Critical, Generalizable Amino Acid
Residues For Varying Intein Activity

Frommer Lawrence & Haug LLP

File No.: 454311-2201.1

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing:

Vicky Derbyshire

Address of Person Signing:

**32 North Helderberg Parkway
Slingerlands, New York 12159**

Signature:

Vicky Derbyshire

Date:

8/14/00